



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/686,934  
Applicant : Bao et al.  
Filed : October 15, 2003  
Title : Waferless Fiber Fabry-Perot Filters  
Confirmation No. : 4564  
TC/A.U. : 2874  
Examiner : Palmer, Phan TH  
Docket No. : 113-02

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as Express Mail in an envelope addressed to: Mail Stop Issue Fee, Hon. Commissioner for Patents, PO Box 1450, Alexandria VA 22313-1450 EV-584 537 142 US	
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Kay Speaker	

### REQUEST FOR EXAMINER'S INITIALS ON PATENT AND TRADEMARK OFFICE FORM 1449

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants respectfully request that the Examiner initial the entries corresponding to all references cited in the Information Disclosure Statements filed with the U.S. Patent and Trademark Office on July 8, 2004. For the Examiner's convenience copies of the relevant PTO 1149 forms and electronic submission materials are provided with this request.

Applicants submitted the Information Disclosure Statements on July 8, 2004, electronically and via Express Mail complying with all the requirements of 37 C. F.R. Section 1.10. A copy of the receipt post card indicating receipt and entry of all the materials submitted via Express Mail to the U.S. Patent and Trademark Office on July 8, 2004 is provided with this request. In addition, a print out generated on December 10, 2004 using the Patent Application Information Retrieval System is provided showing receipt of the materials



submitted via Express Mail and electronically to the U.S. Patent and Trademark Office on July 8, 2004 is also provided with this request.

As these materials were provided more than two months prior to the Notice Of Allowance of September 13, 2004, Applicants respectfully request that the Examiner initial all the entries and return to the Applicants copies showing the Examiner's initials.

It is believed that no fee is due with this submission. If this is incorrect, please deduct any required fee from deposit account 07-1969.

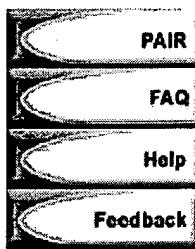
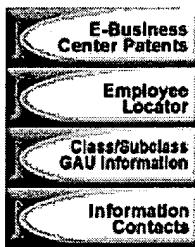
Respectfully submitted,

Stephen B. Barone  
Reg. No. 53,968  
Customer Number 23713

GREENLEE, WINNER and SULLIVAN, P.C.  
4875 Pearl East Circle, Suite 200  
Boulder, CO 80301  
Phone: (303) 499-8080  
Fax: (303) 499-8089



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Search results as of: 12-10-2004::16:35:30 E.T.

**Search results for application number:10/686,934**

<b>Application Number:</b>	10/686,934	<b>Customer Number:</b>	23713
<b>Filing or 371(c) Date:</b>	10-15-2003	<b>Status:</b>	Notice of Allowance Mailed -- Application Received in Office of Publications
<b>Application Type:</b>	Utility	<b>Status Date:</b>	09-24-2004
<b>Examiner Name:</b>	PALMER, PHAN T H	<b>Location:</b>	ELECTRONIC
<b>Group Art Unit:</b>	2874	<b>Location Date:</b>	-
<b>Confirmation Number:</b>	4564	<b>Earliest Publication No:</b>	US 2004-0247244 A1
<b>Attorney Docket Number:</b>	113-02	<b>Earliest Publication Date:</b>	12-09-2004
<b>Class/ Sub-Class:</b>	385/039	<b>Patent Number:</b>	-
<b>First Named Inventor:</b>	Yufei Bao, Norcross, GA	<b>Issue Date of Patent:</b>	-
<b>Title Of Invention:</b>	WAFERLESS FIBER FABRY-PEROT FILTERS		

Select Search Option

Assignments	Search
Continuity Data	
Display References	
Image File Wrapper	
Patent Term Adjustment History	
Publication Review	

**File History**

Date	Contents Description
12-08-2004	Workflow - Query Request - Finish
11-29-2004	Miscellaneous Communication to Applicant - No Action Count
10-21-2004	Workflow - Query Request - Begin
09-24-2004	Receipt into Pubs
09-23-2004	Workflow - File Sent to Contractor
09-13-2004	Mail Notice of Allowance
09-10-2004	Issue Revision Completed
09-10-2004	Notice of Allowance Data Verification Completed
09-01-2004	Receipt of all Acknowledgement Letters
09-01-2004	Receipt of Acknowledgment Letter
07-08-2004	Information Disclosure Statement (IDS) Filed
07-08-2004	Electronic Information Disclosure Statement
06-01-2004	Notice of Allowability

04-30-2004	IFW TSS Processing by Tech Center Complete
04-30-2004	Case Docketed to Examiner in GAU
03-23-2004	Application Return from OIPE
03-23-2004	Application Return TO OIPE
03-23-2004	Application Dispatched from OIPE
03-23-2004	Application Is Now Complete
01-30-2004	Payment of additional filing fee/Preexam
01-30-2004	A statement by one or more inventors satisfying the requirement under 35 U.S.C. 115, Oath of the Applicant
01-16-2004	Notice Mailed--Application Incomplete--Filing Date Assigned
01-14-2004	Agency Referral Letter Mailed
01-14-2004	Referred by L&R for Third-Level Security Review. Agency Referral Letter Generated
01-09-2004	Referred to Level 2 (LARS) by OIPE CSR
12-03-2003	IFW Scan & PACR Auto Security Review
10-15-2003	Initial Exam Team nn

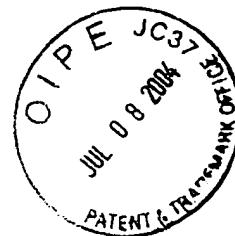
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USPTO acknowledges receipt of the following:

IDS Transmittal  
PTO Form 1449  
*82* References  
U.S.S.N. Application 10/742,599

3 pgs.  
10 pgs  
*42 pgs*



SBB:nk 07/08/04  
U.S.S.N. 10/686,934 filed October 15, 2003  
Atty Docket No. 113-02

ENTD JUL 16 2004 JUL 16 2004



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UNITED STATES PATENT AND TRADEMARK OFFICE  
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	Waferless fiber fabry-perot filters																									
Submission Type:	Information Disclosure Statement																									
Application Number:	10/686934	*10/686934*																								
EFS ID:	64227																									
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Attorney Docket Number:	113-02																									
Timestamp:	2004-07-08 18:16:40 EDT																									
From:	us																									
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Electronic Version v1.1  
Stylesheet Version v1.1.0

Title of Invention	Waferless fiber fabry-perot filters
Application Number:	10/686934 *10/686934*
Date:	2004-07-08
First Named Applicant:	Yufei Bao
Confirmation Number:	4564
Attorney Docket Number:	113-02

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Submitted by:	Elec. Sign.	Sign. Capacity
Steven John Penner Registered Number: 54,371	/stevenjpenner/	Attorney

<b>Documents being submitted</b>	<b>Files</b>
us-ids	113-02ids1-usidst.xml
	us-ids.dtd
	us-ids.xsl
<b>Comments</b>	
It is believed that no fee is due with this submission. If this is incorrect or for all purposes in this matter, please charge any required fee or credit any overpayment to Deposit Account 07-1969.	

**ELECTRONIC INFORMATION DISCLOSURE STATEMENT**

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	Waferless fiber fabry-perot filters									
Application Number:	10/686934 *10/686934*									
Confirmation Number:	4564									
First Named Applicant:	Yufei Bao									
Attorney Docket Number:	113-02									
Search string:	( 6115122 or 6044189 or 5896193 or 5892582 or 5838437 or 5591965 or 5563973 or 5513913 or 5509093 or 5426297 or 5425039 or 5422970 or 5410404 or 5401956 or 5397891 or 5380995 or 5375181 or 5289552 or 5212746 or 5212745 or 4996419 or 4806012 or 5615224 or 5682237 or 5694503 or 5841920 or 5732169 or 4848499 or 4892388 or 4923273 or 5062684 or 5073004 or 5115441 or 5181213 or 5301201 or 5305336 or 5397739 or 5422470 or 5530715 or 5666373 or 5042898 or 5361130 or 5227857 or 6241397 or 6137812 or 5237630 or 5146527 or 5007705 or 5367589 or 5469520 ).pn.									
<b>US Patent Documents</b>										
Note: Applicant is not required to submit a paper copy of cited US Patent Documents										
init	Cite.No.	Patent No.	Date	Patentee	Kind					
	1	6115122	2000-09-05	Bao						
	2	6044189	2000-03-28	Miller						
	3	5896193	1999-04-20	Colbourne						
	4	5892582	1999-04-06	Bao						
	5	5838437	1998-11-17	Miller						
	6	5591965	1997-07-01	Udd						
	7	5563973	1996-10-08	Miller						
	8	5513913	1996-05-07	Ball						
	9	5509093	1996-04-16	Miller						
	10	5426297	1995-06-20	Dunphy						
	11	5425039	1995-06-13	Hsu						
	12	5422970	1995-06-06	Miller						

	13	5410404	1995-04-25	Kersey
	14	5401956	1995-03-28	Dunphy
	15	5397891	1995-03-14	Udd
	16	5380995	1995-01-10	Udd
	17	5375181	1994-12-20	Miller
	18	5289552	1994-02-22	Miller
	19	5212746	1993-05-18	Miller
	20	5212745	1993-05-18	Miller
	21	4996419	1991-02-26	Morey
	22	4806012	1989-02-21	Meltz
	23	5615224	1997-03-25	Cohen
	24	5682237	1997-10-28	Belk
	25	5694503	1997-12-02	Fleming
	26	5841920	1998-11-24	Lemaire
	27	5732169	1998-03-24	Riant
	28	4848499	1989-07-18	Martinet
	29	4892388	1990-01-09	Taylor
	30	4923273	1990-05-08	Taylor
	31	5062684	1991-11-05	Clayton
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	33	5115441	1992-05-19	Kopf
	34	5181213	1993-01-19	Shinokura
	35	5301201	1994-04-05	Dutta
	36	5305336	1994-04-19	Adar
	37	5397739	1995-03-14	Chalmers
	38	5422470	1995-06-06	Kubo
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	44	6241397	2001-06-05	Bao
	45	6137812	2000-10-24	Hsu
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	47	5146527	1992-09-08	Mallinson
	48	5007705	1991-04-16	Morey

	49	5367589	1994-11-22	MacDonald
	50	5469520	1995-11-21	Morey

**Signature**

Examiner Name	Date

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Title of Invention	Waferless fiber fabry-perot filters																									
Submission Type:	Information Disclosure Statement																									
Application Number:	10/686934	*10/686934*																								
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**TRANSMITTAL**

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Stylesheet Version v1.1.0

Title of Invention	Waferless fiber fabry-perot filters	
Application Number:	10/686934 *10/686934*	
Date:	2004-07-08	
First Named Applicant:	Yufei Bao	
Confirmation Number:	4564	
Attorney Docket Number:	113-02	
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Submitted by:	Elec. Sign.	Sign. Capacity
Steven John Penner Registered Number: 54,371	/stevenjpenner/	Attorney

<b>Documents being submitted</b>	<b>Files</b>
us-ids	113-02ids2-usidst.xml
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Electronic Version v18

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Title of Invention	Waferless fiber fabry-perot filters
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Application Number: 10/686934 \*10/686934\*

Confirmation Number: 4564

First Named Applicant: Yufei Bao

Attorney Docket Number: 113-02

Search string: ( 5602949 or 5978539 or 5991483 or 5999671 or 6181851 or 6229827 or 6240220 or 6327036 or 4955025 or 4782491 or 4780877 or 4680767 or 5208886 or 4545644 or 4358851 or 4813756 or 4861136 or 4830451 or 4932033 or 5037179 or 4787701 or 4629284 or 4490007 or 4448482 or 4258977 or 5251275 or 5469455 or 5588013 or 5381426 or 5959753 or 6163553 or 5132976 or 5504771 or 6160627 or 5734667 or 5381230 or 5617434 or 4530097 or 5619368 or H0001813 or RE035962 or 4982406 or 5243610 or 5365539 or 5914978 or 5946438 or 5878065 ).pn.

**US Patent Documents**

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5602949	1997-02-11	Epworth			
	2	5978539	1999-11-02	Davies			
	3	5991483	1999-11-23	Engelberth			
	4	5999671	1999-12-07	Jin			
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	6	6229827	2001-05-08	Fernald			
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	12	4680767	1987-07-14	Hakimi			

13	5208886	1993-05-04	Clayton
14	4545644	1985-10-08	DeVeau, Jr.
15	4358851	1982-11-09	Scifres
16	4813756	1989-03-21	Frenkel
17	4861136	1989-08-29	Stone
18	4830451	1989-05-16	Stone
19	4932033	1990-06-05	Miyazawa
20	5037179	1991-08-06	Bertolin
21	4787701	1988-11-29	Stenger
22	4629284	1986-12-16	Malavieille
23	4490007	1984-12-25	Murata
24	4448482	1984-05-15	Lathlaen
25	4258977	1981-03-31	Lukas
26	5251275	1993-10-05	Kuriyama
27	5469455	1995-11-21	Reitz
28	5588013	1996-12-24	Reitz
29	5381426	1995-01-10	Fontana
30	5959753	1999-09-28	Duling
31	6163553	2000-12-19	Pfeiffer
32	5132976	1992-07-21	Chung
33	5504771	1996-04-02	Vahala
34	6160627	2000-12-12	Ahn
35	5734667	1998-03-31	Esman
36	5381230	1995-01-10	Blanke
37	5617434	1997-04-01	Tamura
38	4530097	1985-07-16	Stokes
39	5619368	1997-04-08	Swanson
40	H0001813	1999-11-02	Kersey
41	RE035962	1998-11-17	Ball
42	4982406	1991-01-01	Facklam
43	5243610	1993-09-07	Murata
44	5365539	1994-11-15	Mooradian
45	5914978	1999-06-22	Welch
46	5946438	1999-08-01	Minot
47	5878065	1999-03-02	Delavaux

**Signature**

Examiner Name	Date

File 3 of 3

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First Named Applicant:	Yufei Bao																									
Attorney Docket Number:	113-02																									
Timestamp:	2004-07-08 18:38:08 EDT																									
From:	us																									
File Listing:	<table border="1"><thead><tr><th>Doc. Name</th><th>File Name</th><th>Size (Bytes)</th></tr></thead><tbody><tr><td>us-ids</td><td>113-02ids3-usidst.xml</td><td>2920</td></tr><tr><td>us-ids</td><td>us-ids.dtd</td><td>7763</td></tr><tr><td>us-ids</td><td>us-ids.xsl</td><td>12026</td></tr><tr><td>package-data</td><td>113-02ids3-pkda.xml</td><td>1981</td></tr><tr><td>package-data</td><td>package-data.dtd</td><td>27025</td></tr><tr><td>package-data</td><td>us-package-data.xsl</td><td>19263</td></tr><tr><td align="right" colspan="2">Total files size</td><td>70978</td></tr></tbody></table>		Doc. Name	File Name	Size (Bytes)	us-ids	113-02ids3-usidst.xml	2920	us-ids	us-ids.dtd	7763	us-ids	us-ids.xsl	12026	package-data	113-02ids3-pkda.xml	1981	package-data	package-data.dtd	27025	package-data	us-package-data.xsl	19263	Total files size		70978
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Government,c=US

**TRANSMITTAL**

Electronic Version v1.1

Stylesheet Version v1.1.0

Title of Invention	Waferless fiber fabry-perot filters	
Application Number:	10/686934 *10/686934*	
Date:	2004-07-08	
First Named Applicant:	Yufei Bao	
Confirmation Number:	4564	
Attorney Docket Number:	113-02	
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>		
Submitted by:	Elec. Sign.	Sign. Capacity
Steven John Penner Registered Number: 54,371	/stevenjpenner/	Attorney

<b>Documents being submitted</b>	<b>Files</b>
us-ids	113-02ids3-usidst.xml
	us-ids.dtd
	us-ids.xsl
<b>Comments</b>	
It is believed that no fee is due with this submission. If this is incorrect or for all purposes in this matter, please charge any required fee or credit any overpayment to Deposit Account 07-1969.	

## ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	Waferless fiber fabry-perot filters
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Application Number: 10/686934 \*10/686934\*  
 Confirmation Number: 4564  
 First Named Applicant: Yufei Bao  
 Attorney Docket Number: 113-02  
 Search string: ( 5703978 or 5721802 or 6529661 or 6671432 or 5381500 or  
 5159655 or 5179608 or 5650856 or 5050949 or 6263002 or  
 6449047 or 6504616 or 20030076505 ).pn.

### US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
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	2	5721802	1998-02-24	Francis			
	3	6529661	2003-03-04	Kropp			
	4	6671432	2003-12-30	Imada			
	5	5381500	1995-01-10	Edwards			
	6	5159655	1992-10-27	Ziebol			
	7	5179608	1993-01-12	Ziebol			
	8	5650856	1997-07-22	Morse			
	9	5050949	1991-09-24	DiGiovanni			
	10	6263002	2001-07-17	Hsu			
	11	6449047	2002-09-10	Bao			
	12	6504616	2003-01-07	Haber			

### US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass

	1	20030076505	2003-04-24	Bao
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**Signature**

Examiner Name	Date

Form PTO-1449			
ATTY DOCKET NO.: 113-02	SERIAL NO.: 10/686,934	FILING DATE: October 15, 2003	
APPLICANT: Bao et al.		GROUP: 2828	

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	0 903 615 A2	03/24/99	EP	G02F 1/21	G02F 1/1333	
	1 016 884 A2	07/05/00	EP	G02B 6/28	H04J 14/02	
	WO 98/17968	04/30/98	PCT	G01B 9/02		
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<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>	

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FILING DATE: October 15, 2003

APPLICANT: Bao et al.

GROUP: 2828

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Exmr. Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
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	5,591,965	01/07/97	Udd	250	227.18	

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## FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation Yes/No

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